

Approved For Release 2002/01/25 : CIA-RDP74-00390R000200200003-1

DDP/RMO-69/42
27 February 1969

MEMORANDUM FOR: Deputy Director for Plans

SUBJECT : 1968 Field Records Inventory

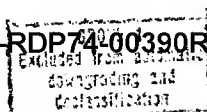
REFERENCES : A. Book Dispatch 6563, 27 June 1968
B. SC-03489-68, 14 March 1968
C. RNS-68-058, 19 July 1968
D. Book Dispatch 6659, 22 August 1968

1. This report is submitted for your information only. Copies of the report have been forwarded to the chiefs of the area divisions, to the Chairman of the Operational Management Study Group, to DDP/SSU, and to the Physical Security Division of the Office of Security for Information and action as appropriate. Copies for information have also been forwarded to the senior staffs and other units as indicated in the distribution.

Summary

2. Analysis of the final returns of the 1968 field records inventory disclosed a 14% reduction in files and a 1.3% reduction in indices to continue the downward trend in total field holdings. By division, general increases occurred only in Africa Division; by category, increases appeared most frequently in operational files and 3 x 5 indices. Neither trend was unexpected. Considering degree of hazard, approximately two-thirds of our holdings are maintained in installations of "A" classification, with one-third being maintained in the more precarious "B" and "C" areas. Response to a request in Reference A for a qualitative statement regarding the role of field records and the problems of field filing was not as enthusiastic as we had hoped; however, a number of interesting views were forwarded which offer Headquarters a challenge to improve support to the field in various areas of records management concern. The Emergency Destruction Facilities Questionnaire was also forwarded with the inventory and returns reflect a widely held opinion -- hopefully not too roseate -- that facilities are adequate for most emergencies. A number of emergency destruction problems were surfaced; solutions are available for most. In sum, the picture is encouraging, but there is still room for improvement.

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Inventory Totals and Trends - General

3. Reference A, which initiated the Inventory, was sent to [redacted] stations and bases sponsored by the six area divisions; [redacted] responded, the two non-respondents being [redacted]. There is little concern about the latter since its files were reduced drastically during the 1967 Near East crisis and could not have grown significantly. We find it important, on the other hand, to be kept aware of the status of the sizable [redacted] collection which, at almost 900 linear feet (1967 inventory), is by itself greater than the combined field totals of AF and DO Divisions, and equals about 70% of the NE Division field inventory. Analysis of the returns which excludes the files of the non-respondents (and of [redacted] which was not queried, but for which a rough estimate of 6.5 linear feet of files was given), indicates that 12,738 linear feet of files and 6,280 linear feet of indices are being maintained in the field. This is a reduction of 1,787 feet, or 14%, and 83 feet, or 1.3%, respectively. (See Tab A.) Estimating the totals of the non-respondents and adding this sum (with [redacted] to the total reported produces a rough grand total of 13,550 feet of files and 6,800 feet of indices, for a reduction of approximately 12% and less than 1% respectively. Decreases in files in all Divisions are indicated, except for Africa Division which shows an approximate 5% increase. This was not unexpected, considering that the Division's field files were sharply reduced during the 1967 Near East crisis and are now in the process of being rebuilt. Increases are more prevalent among indices; but again this is not totally unexpected since these holdings are less subject to purging. As long as the increases are reasonable, little concern is warranted, considering that the volume of a linear foot of index material is considerably less than that of a file.

Inventory Totals and Trends by Degree of Hazard

4. Matching the Inventory results against the degree of hazard classification (Reference D) indicates that 63.9% of our file inventory and 61.9% of the Index inventory are maintained in areas of "A" classification (non-hazardous). 19.4% and 24.1%, respectively, are maintained in areas of "B" classification (area susceptible to be overrun by hostile forces); and 16.7% and 14%, respectively, in areas of "C" classification (areas where riots or revolution might subject an employee to capture by hostile forces). (See Tab B.) Although it is somewhat comforting to find that approximately two-thirds of our holdings are in non-hazardous areas, it would seem that some effort should be made to reduce further those collections in the more hazardous environments. It may be noted, for example, that over 50% of files and indices in EUR Division stations are to be found in stations of "B" classification [redacted] -- ranging from 355 to 845 feet of files). In other divisions, installations such as [redacted] stand out, although there may be others with comparably smaller inventories who are in

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more precarious positions. Other factors, of course, must be considered here, such as the installation's emergency destruction capability -- "burn time," not to mention what appears to be a rather subjective assignment of the degree of hazard classification by the Headquarters Desks (e.g., by comparison, [REDACTED] is rated "B", whereas [REDACTED] is rated "A"). We are unable to indicate trends by degree of hazard -- i.e., whether an attempt is being made to reduce inventories in the more hazardous areas -- since there are no degree of hazard statistics available from previous years with which we may compare. Other indicators, however, show that AF and NE Divisions have taken division-wide steps to reduce holdings in hazardous environments and that there have been scattered efforts within the other divisions.

Inventory Totals and Trends by Category

5. The inventory is presented in terms of categories of files and indices under Tab A. The percentage of the total file or index material which that figure represents is also given. Our largest collections are in the administrative and support; 201; and background, reference, and working paper categories; followed by project and subject categories; and in 3 x 5 holdings. It is not possible to indicate the growth in these categories, since figures are not available from the previous year; however, having noted in the initial analysis where the increases appeared within each installation, we were able to compile an indication of trends of increase within each category, which is perhaps more indicative than a straight calculation of increase. (See Tab C.) We considered a "trend" indicated when increases appeared in a number of installations which approached or exceeded one-third of the total installations within the Division. Trends toward increase were noted primarily in 3 x 5 indices; in 201 files; subject files; background, reference, and working files; project files; and dispatch chrono files; followed by lesser trends in non-201, cable chrono, and crypto reference collections. Although it is questionable whether action is warranted at this time on the basis of these "first-year" trend indications -- unless, of course, they are pronounced -- it would be well, at least, to note them for comparison with trends indicated in the 1969 inventory. Those that continue should spot areas where action is necessary to prevent files from growing out of hand, unless operational or other imperatives validate the increase. AF Division is a case in point. As the installations of this Division have been in the process of rebuilding their files, increases are expected and reasonable; however, this rehabilitation has reached the leveling-off point and "normal" trends -- if any -- should appear in the 1969 inventory. With the exception of the files in NE installations which, by comparison, seem to be holding fairly steady, trends within categories are quite evident in all other divisions and are indicated briefly below. (Trends within DD Division are difficult to grasp because of the small number of field installations analyzed.)

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a. Administrative and Support -- FE Division holdings are much larger than average (22%) but no increasing trend is indicated.

b. Cable chrono -- There are trends of increase in AF and DO Divisions.

c. Dispatch chrono -- These holdings constitute less than 4% of the files in all divisions, although upward trends are indicated across-the-board (small in NE). In the initial analysis of individual inventories, we noted an apparent trend in several stations to rely more upon chronos for reference than for occasional backstopping, as intended, and we commented accordingly in passing our analyses to the Division RMO's, or in direct reply to the installations.

d. 201 files -- These files generally enjoy a larger percentage of total holdings (10-20%). Trends of increase are noted in all divisions except NE, but particularly in EUR, FE, and WH Divisions. We fear that this may be an indication of increasing "loose 201 filing" -- use of the 201 file for operational and subject filing in addition to its biographic purpose -- a method we do not recommend, but which is fairly popular in FE and WH Divisions.

e. Non-201 files -- The percentage equals or exceeds 5% in AF, EUR, and WH Divisions. Only a slight upward trend is indicated in AF Division, but there is a noticeable trend of increase among WH Division installations, which may well be further indication of "loose 201 filing."

f. Project files -- These files share a (roughly) similar percentage in all divisions (about 11%), except for FE and DO. The FE percentage (7%) seems surprisingly small for the operational efforts of that Division. AF, EUR, and WH Divisions show trends of increase.

g. Subject files -- AF and WH Divisions hold a noticeably larger percentage of subject files than the other Divisions (over 14%). Trends of increase appear in AF, EUR, and WH areas.

h. Background, reference, and working files -- Of the file categories, this group enjoys the largest percentages, in most cases about 20% of the total inventory. It is a difficult collection to analyze and control, however, since -- for inventory purposes -- it holds, indistinguished, except for an occasional note, not only CA operational background, non-official subject, and working files, which tend to be voluminous, but also serves as a "catch-all" for all types of files not specifically listed or otherwise categorized on the inventory form; e.g., air operations, training programs, DDI files, communications files, TSD files. The AF Division holdings are comparatively small, with an upward trend; the remaining division collections range about the 20% mark, but with no particular trend indicated.

I. Miscellaneous files -- The percentage of sensitive documents held in AF, DO, and FE Division Installations are highest (over 6%), with some upward trend noted in AF and FE. Manifests held in AF Division stations and bases enjoy a percentage almost twice that of other divisions. Blank form inventories are high in AF and DO Divisions, which is understandable for the former because of shipping problems, but not for the latter. No trends are noted.

J. 3 x 5 Indices -- This group constitutes 70-80% of the Index collections and, as expected, generally trends upward in all divisions.

K. Crypto reference indices -- The percentage of these holdings in DO Division is about twice that of other divisions, but with no significant trend of increase. There are slight upward trends, as expected, in all other divisions.

Inventory of Communications and COMINT Collections

6. In the past, indications of the size of the Communications and COMINT collections in the field were considered of value, the former for its volume contribution and the latter for its sensitivity contribution to the emergency destruction problem. These statistics were requested again for this inventory (References B and C), but, as in previous years, response was something less than satisfactory. (See Tabs D and E.) Understandably, there may have been some confusion in the field regarding the COMINT reporting requirement, since both References A and B levied the same requirement, but with the latter requesting that reporting be through COMINT channels only. Discussion of the matter with FI/D/RMO revealed that SPIRIT/SSIS is firm in its decision requiring that these statistics be reported via COMINT channels. Consequently, the decision was made to drop the requirement from the annual inventory requested by this office. The Communications file inventory requirement is still valid and procedures for improving the response in the 1969 inventory will be discussed in the coming months by the offices concerned.

Qualitative Comment Regarding Field Records Management

7. In addition to the inventory requirement, Reference A requested qualitative comment from the Chief of Station or Base regarding field records -- the role they play in support of operations and administration; problems; uniqueness; concepts of organization and application; terms of retention and value; discipline; and the like; i.e., something more than a simple measurement of cards and files, the "dry facts." [REDACTED] responded. Though we had hoped for a greater response, a number of interesting views were offered which were collated, distilled, and presented in an informal memorandum to the Operational Management Study Group (OMSG) on 4 October 1968. Each of the [REDACTED] responses, by the way, received an individually-tailored, acknowledging dispatch which expressed appreciation for the response, made comment thereon, and advised on

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problems presented where appropriate. The remaining responses were reviewed and the views of this office were forwarded to the respective Division RMO for action in replying to the station or base, as necessary, and advising on problems reflected.

8. Although occasional rationalization for maintaining outsized collections (our judgment) was given in the field responses, there seemed to be a general awareness of the necessity for keeping files within reasonable proportions, with genuine attempts being made to do so. Difficulty in reducing files was attributed to:

- a. Lack of time, manpower, and expertise;
- b. The need for background files for newly assigned and outside case officers;
- c. The requirement to maintain finance files for audit and other legal purposes;
- d. The need to respond to Headquarters requests for thorough information and operational reporting and for target and CI analyses;
- e. The need for extensive background files for CA operations;
- f. The fact that physical separation of installation components or separation by cover element required duplicate filing;
- g. Briefing and debriefing requirements;
- h. The need for background to defend its position or operational viewpoint;
- i. The fact that the installation could not rely on other agency files for overt information;
- j. Conversely, the need to meet requests for support from other agencies, often for information in depth;
- k. The need to maintain bulky handbooks and biographic notebooks (the China Handbook was frequently mentioned); and
- l. The difficulty in requesting information from Headquarters continuously when needed because of communication by one time pad.

9. Discussion of retention periods revealed some surprisingly widely-held conservative views. Active project and 201 files -- considered the most important -- were often not considered necessary beyond one or two years.

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A retention period of six months to a year for dispatch chrono files and of three to six months for cables was deemed sufficient. The reaction to the need to keep subject and background and reference files, and for what period, was quite mixed. Only scattered comment was received on retention periods for other types of material. Comparison of the total comment with the current disposition regulation [REDACTED] would indicate that the two are reasonably in line, that the regulation is therefore fairly realistic and that no changes seem to be necessary. 25X1A

10. In the general discussion of reduction of field files and Headquarters assistance in this regard, most seemed to think that Headquarters performance in providing informational support as occasionally needed (thus permitting the field to retain fewer files) was good, although the responses were not lacking in complaint. Few thought, however, that Headquarters could meet their demands for support if sustained and worldwide, or that the communications channels could bear the burden. (This was primarily in response to our query regarding the feasibility of operating from a brief case in the field with heavy reliance upon Headquarters for support.) There was some question also about the ability of Headquarters to respond proficiently in quick-reaction situations, such as supplying background information in depth for ad hoc political action. Turning their attention to current practices, a number indicated that they had successfully maintained their files at a minimum through periodic "review and burn days," in which all or selected files would be reviewed and culled, with retention of summary reports and destruction or retirement of the remainder. In this regard, it was suggested that Headquarters could lend assistance by (1) broadening its retirement criteria, and (2) preparing periodic summary sheets for selected project, subject, and 201 files for field use. From others came pleas for support in the form of TDY assistance or better-qualified PCS records management personnel. Quite a few admitted that, in the final analysis, if files are to be kept at all manageable, the Chief of Station or Base must involve himself personally with the records management problem and apply a firm hand.

11. On the basis of the accumulated comment, several recommendations were offered to OMSG for consideration:

- a. That officers assigned to the field be more thoroughly "read in" prior to departure from Headquarters;
- b. That a study be made of the audit and other legal requirements and procedures which force us to keep field paper beyond reference value;

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d. That we ascertain whether, in fact, Headquarters desks are demanding too much of certain stations or bases in preparation of target and CI analyses and similar studies in depth;

e. That we establish and publish guidelines for retirement of field material to Headquarters;

f. That we study the feasibility of preparing summary reports in selected instances to enable the field to reduce its files;

g. That we review the cost-versus-value and the form of TOY assistance to smaller installations and PCS records staffing at the larger.

Emergency Destruction Facilities and Posture

12. In previous years the Emergency Destruction Facilities Questionnaire had been submitted as a separate exercise; however, considering the close correlation between the two exercises, we decided for 1968 to combine it with the annual inventory. Hopefully, the immediate opportunity to compare material-on-hand with ability-to-destroy would stimulate more field thinking about reducing the material, or increasing the capability, or both. Here at Headquarters, copies of the returned questionnaires were forwarded to the division RMO, to ODP/SSU, and to OS/Physical Security Division for their review and action as necessary. As a by-product of the total inventory review, however, a precis of the outstanding problems reported was submitted to these same units for use as an action checklist. (See Tab F.) The majority of the installations seem to consider their emergency destruction posture as good. We must admit feeling that some are optimistic, but must accept their evaluation. Where problems exist, most are subject to solution within the realm of current techniques and budget (listed in Tab F). Some installations, however, because of the physical location, size, or configuration of the building and grounds, are forced to make the best of a bad situation. In these latter cases, nothing short of moving to another building which can accept adequate destruction facilities will solve their dilemma. Fortunately, these are few. It might be noted that, at the time of this writing, two divisions -- EUR and FE -- are taking steps to review their field "burn times" and destruction capabilities.

Conclusions

13. The continuing decline in the field records inventory bodes well and it appears that many if not most installations are making some honest attempt to keep files to a minimum. There is room for improvement, however, and Headquarters could do much by continuing to goad and guide in correspondence, by improving current procedures as recommended in paragraph 11, and by development of programs such as the current study on microform applications. More specifically we conclude:

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- a. The area divisions should persuade/assist their field installations located in "B" and "C" degree of hazard areas to reduce the size of their inventories where these are sizable and require excessive burning time. (We would also hope that an attempt would be made to determine realistic degree of hazard classifications in this semi-annual exercise.)
- b. The area divisions should note those specific areas where excesses and trends in certain file classifications are indicated, with action taken as necessary to restrain the growth of these collections.
- c. It is assumed that OMSG and the respective security offices will take action as necessary on the items mentioned in paragraphs 11 and 12.
- d. The annual field records inventory, combined with the emergency destruction facilities questionnaire, should be continued. It has proven to be one of the most effective records management tools at our disposal for determining and reporting the installation's records/emergency destruction posture, for prompting action to improve that posture, and for providing statistical analyses on which security and records management decisions toward various ends can be based.
- e. A study will be undertaken by this office in an attempt to simplify the preparation and completion of the inventory and to increase its accuracy, through improvement of reporting forms and procedures and possibly computer management. Presently, over 2000 copies of the inventory form must be manually prepared at Headquarters, requiring several man-days, and then completed in the field. Upon receipt in Headquarters, the results are checked and analyzed. (It might be interesting to note that before analysis of the 1968 responses could begin, the arithmetic in [REDACTED] forms -- 46% -- had to be corrected.) Simultaneously with the analysis, statistics are prepared. It can thus be seen that a significant portion of the exercise is clerical in function which could possibly be simplified and then managed by computer with resulting, appreciable savings in time and manpower.

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[REDACTED]
DOP, Records Management Officer

Attachments:

- Tab A - Field Records Inventory Totals
- Tab B - Inventory Totals by Degree of Hazard
- Tab C - Inventory Trends
- Tab D - Inventory of Communications Holdings
- Tab E - Inventory of COMINT Holdings
- Tab F - Precise of Emergency Destruction Problems

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Distribution:

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Chief, NE Division
Chairman, OMSG
Chief, OPSE
→ Chief, OS/Physical Security Division
→ Director, OTR
Chief, RID
Chief, Systems Group
Chief, TS Division
Chief, WH Division

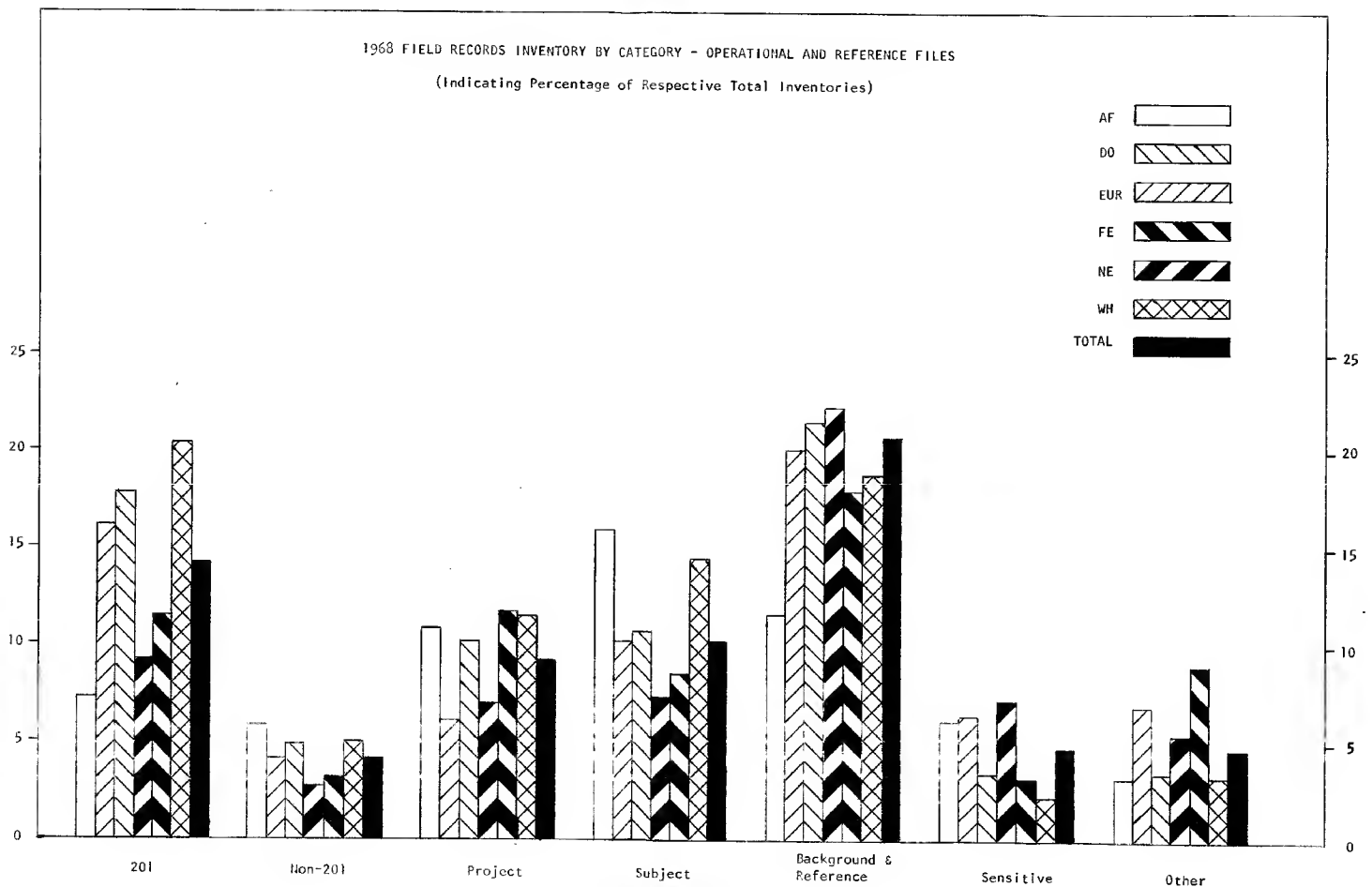
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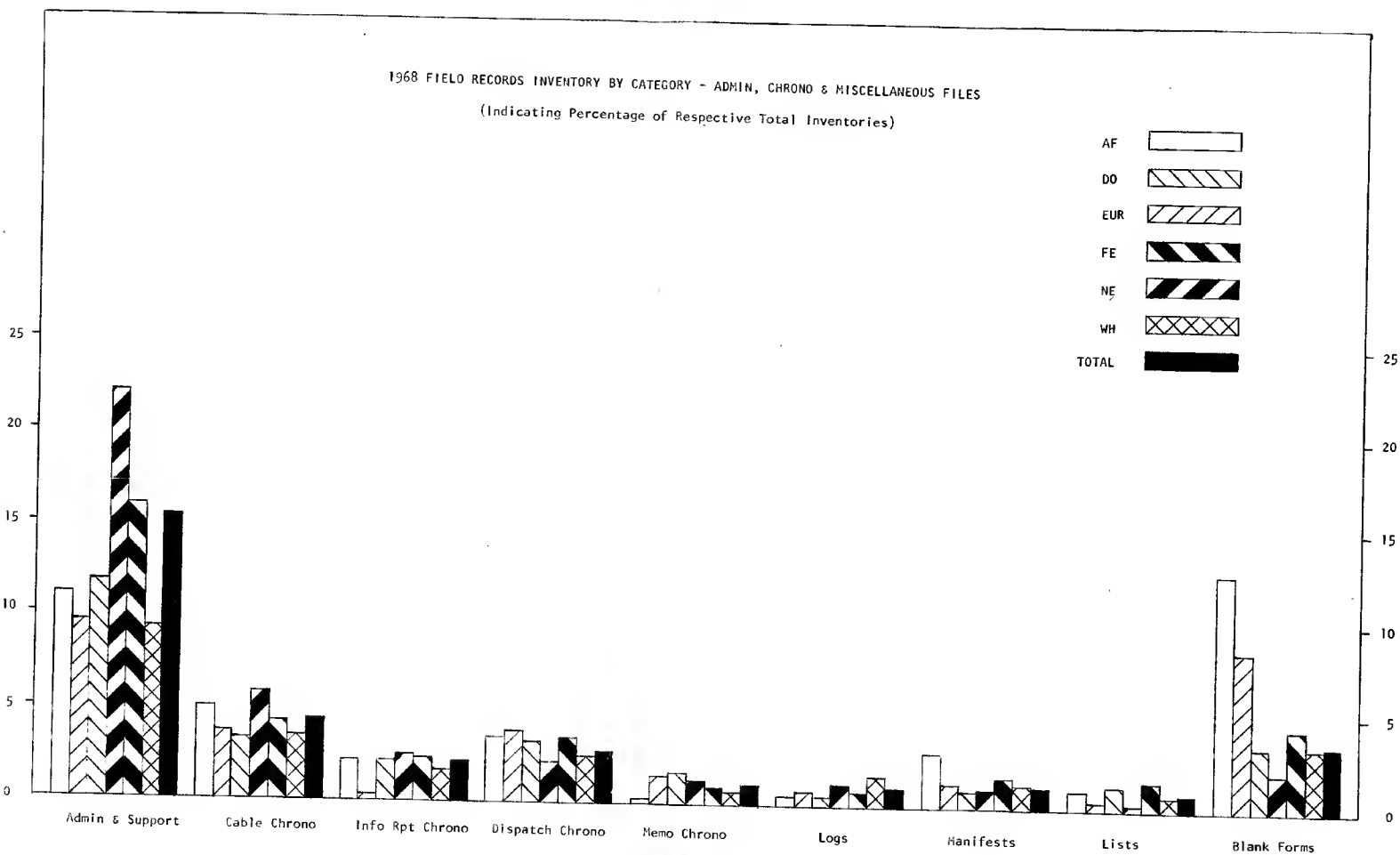
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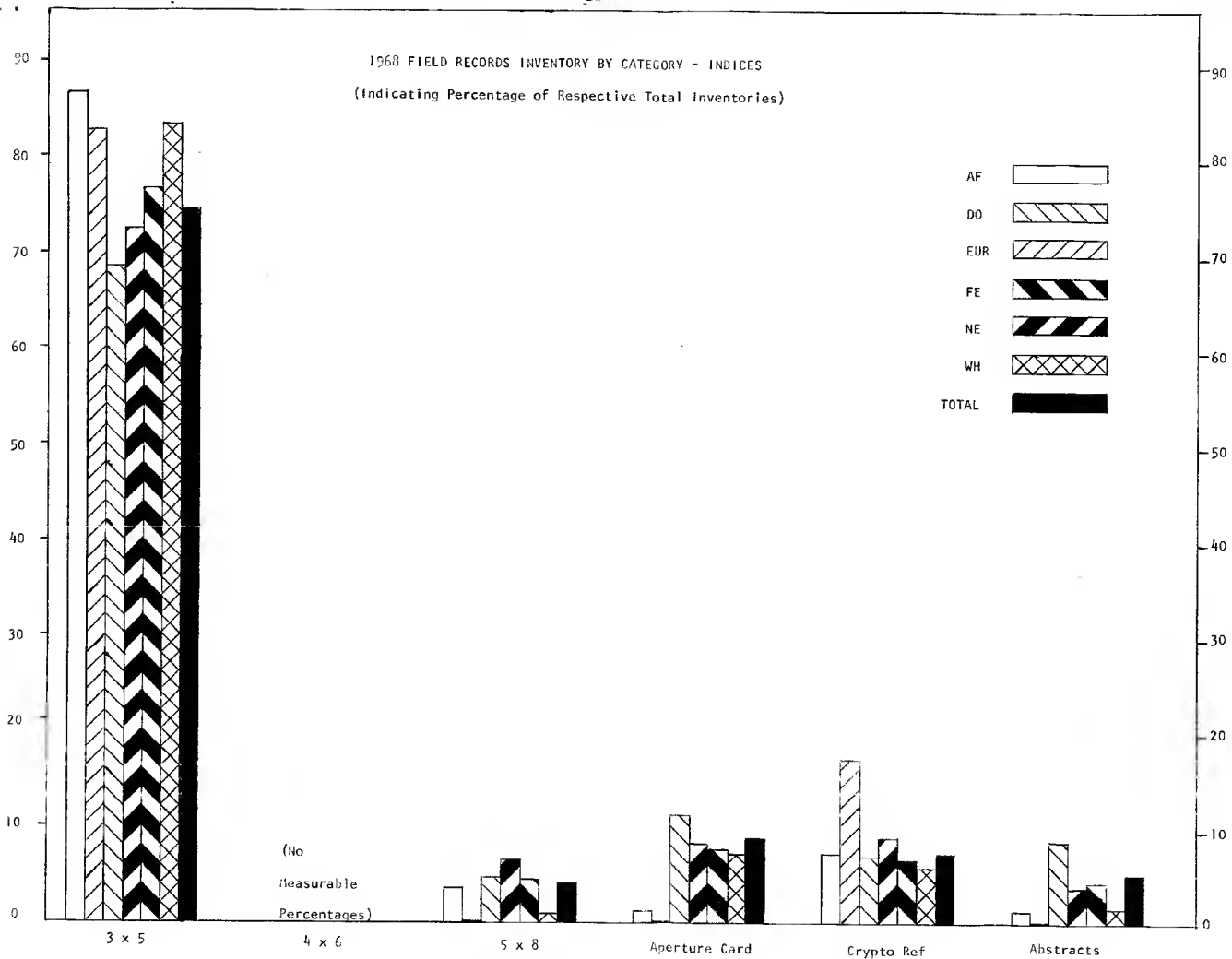
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DDP/RMO-69/8
21 January 1969

MEMORANDUM FOR: Chief, Office of Communications

SUBJECT : 1968 Field Records Inventory -- Communications
Holdings

Returns from the 1968 Field Records Inventory have indicated Communications holdings in the field as listed in attachment. Dashes indicate that no figures were given. Reporting was obviously spotty and, therefore, not an accurate reflection of total Communications holdings world wide. Experience gained indicates that we are in need of more precise methods of requesting and reporting field Communications holdings if we are to obtain accurate readings for emergency destruction purposes as well as for your use. We suggest that representatives of our offices meet to discuss procedures for the 1969 Inventory at some time prior to the preparation for that inventory. If you concur, this office will take the initiative to request a meeting at the appropriate time.


DDP, Records Management Officer

Attachment:
1968 Field Communications Holdings

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DDP/RMO-69/9
21 January 1969

MEMORANDUM FOR: Chief, FI/D

SUBJECT : 1968 Field Records Inventory -- COMINT Holdings

Returns from the 1968 Field Records Inventory have indicated COMINT holdings in the field as listed in attachment. Dashes indicate that no figures were given. Reporting was obviously spotty and, therefore, not an accurate reflection of total COMINT holdings world wide. Nevertheless, these statistics are forwarded to you for whatever value they might have. We suggest that the procedure for requesting these statistics in the annual inventory be discussed prior to preparation for the 1969 inventory so that we can obtain more meaningful statistics for whatever use you may have. If you concur, this office can take the initiative to call such a meeting at the appropriate time.

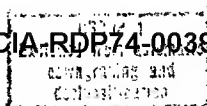


DDP, Records Management Officer

Attachment:
1968 Field COMINT Holdings

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DDP/RMO-69/26
6 February 1969

MEMORANDUM FOR:

SUBJECT : Field Station/Base Emergency Destruction Problems
REFERENCE : Book Dispatch 6563, 27 June 1968

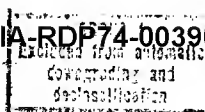
Upon receipt of the Emergency Destruction Facilities Questionnaires in response to Reference, this office furnished copies to the respective Division RMO, to DDP/SSU, and to the Physical Security Division of the Office of Security for information and action as necessary. A precis of the outstanding problems reported -- prepared as a by-product of the review of the inventory response -- may be useful as a check-list for the offices concerned and is accordingly attached for information and use. In each case, the reporting document is indicated to facilitate reference.


DDP, Records Management Officer

Attachment:
Precis of Emergency Destruction Problems

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